

LIST OF PATENTS AND OTHER ITEMS FOR APPLICANT'S  
INFORMATION DISCLOSURE STATEMENT

(Use several sheets if necessary)

ATTY. DOC. NO.  
258/193SERIAL NO.  
09/781,046APPLICANT:  
Kangsheng WangFILING DATE:  
02/08/2001GROUP:  
1632

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## U.S. PATENT DOCUMENTS

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EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE
TNT	AA	5,744,335	4/28/98	Wolff, J.A. et. al.	435	458	9/19/95
TNT	EE	6,063,630	5/16/00	Treco et al	435	463	4/20/94

## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION YES NO
TNT	AB	WO 99/42569	8/26/99	PCT Publication	—	—	
	AC	WO 99/40213	8/12/99	PCT Publication	—	—	X
	AD	WO 93/24626	12/3/93	PCT Publication	—	—	X
	AE	0 431 839 A1	6/12/91	EUROPE	—	—	X
	AF	0 431 839 B1	6/12/91	EUROPE	—	—	X
	AG	WO 99/38991	8/05/99	PCT Publication	—	—	X
	AH	WO 97/11597	4/03/97	PCT Publication	—	—	X
	AI	WO 90/08192	7/26/90	PCT Publication	—	—	X
	AJ	CN 1208600	2/24/99	CHINA	—	—	X
TNT	AK	RU 2081914	6/20/97	RUSSIA	—	—	X

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, etc.)

TNT	AL	Smith, K. (1999) "Sperm Cell Mediated Transgenesis: A Review," <i>Animal Biotechnology</i> 10(1&2): 1-13.
	AM	Gandolfi, F. (1998) "Spermatozoa, DNA Binding and Transgenic Animals," <i>Transgenic Research</i> 7(3): 147-155.
	AN	Spadafora, C. (1998) "Sperm Cells and Foreign DNA: a controversial relation," <i>BioEssays</i> 20(11): 955-964.
	AO	Lavitrano, M., et. al. (1999) "Human Decay Accelerating Factor Transgenic Pigs Obtained by Sperm Mediated Gene Transfer," <i>Transplantation Proceedings</i> 31: 972-974.
	AP	Liu, X.Y., et. al. (1999) Association of Foreign DNA with Sperm of Gilthead Seabream, <i>Sparus aurata</i> . After Sonication, Freezing, and Dimethyl Sulfoxide Treatments, <i>Marine Biotechnology</i> 1: 175-183.
TNT	AQ	Hasebe, M., et. al. (1998) "An Attempt to Produce Transgenic Chicken Mediating Sperm Cells as Vectors," <i>Journal of Applied Animal Research</i> 14: 143-150.

EXAMINER:

Not Yet Assigned

Thara N. Jon

DATE CONSIDERED:

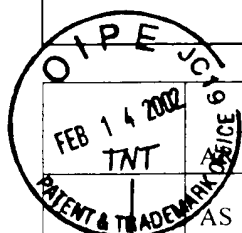
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Information Disclosure Statement - Section 9 PTO-1449

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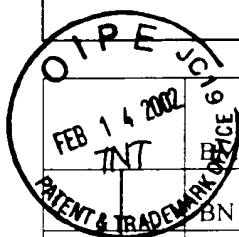
AS	Rottmann, O.J., et. al. (1996) "Liposome Mediated Gene-Transfer via Sperm Cells. High Transfer Efficiency and Persistence of Transgenes by Use of Liposomes and Sperm Cells and a Murine Amplification Element," <i>J. Animal Breed. Genet.</i> 113: 401-411.
AT	Maione, B., et. al., (1998) "Sperm-Mediated Gene Transfer in Mice," <i>Molecular and Development</i> 50:406-409.
AU	Maione, B., et. al. (1997) "Activation of Endogenous Nucleases in Mature Sperm Cells upon Interaction with Exogenous DNA," <i>DNA and Cell Biology</i> 16(9): 1087-1097.
AV	Birnstiel, M. and Busslinger, M., (1989) "Dangerous Liaisons: Spermatozoa as Natural Vectors for Foreign DNA?," <i>Cell</i> 57: 701-702.
AW	Dickson, D. (1989) "'Dangerous' Liaisons in Cell Biology" <i>Science</i> 244 1539-1540.
AX	Brinster, R.L., et. al., (1989) "No Simple Solution for Making Transgenic Mice," <i>Cell</i> 59:239-241.
AY	Tsai, H.J., et. al., (1997) "Sperm as a carrier to introduce an exogenous DNA fragment into the oocyte of Japanese abalone ( <i>Haliotis divorsicolor</i> suportexta)," <i>Transgenic Research</i> 6(1): 85-95.
AZ	Gagne, M. B., et. al., (1991) "Electroporation of Bovine Spermatozoa to Carry Foreign DNA in Oocytes," <i>Molecular Reproduction and Development</i> 29: 6-15.
BA	Lavitrano, M., et. al., (1989) "Sperm Cells as Vectors for Introducing Foreign DNA into Eggs: Genetic Transformation of Mice," <i>Cell</i> 57: 717-723.
BB	Wall, R.J., et. al. (1992) Making Transgenic Livestock, Genetic Engineering on a Large Scale, <i>Journal of Cellular Biochemistry</i> 49: 113-120.
BC	Francolini, M., et. al (1993) Evidence for Nuclear Internalization of Exogenous DNA into Mammalian Sperm Cells, <i>Mol. Reprod. Devel.</i> 34: 133-139
BD	Lavitrano, M., et. al. (1992) The Interaction Between Exogenous DNA and Sperm Cells, <i>Mol. Reprod. Devel.</i> , 31: 161-169.
BE	Pursel, V. G., et.al. (1989) Genetic Engineering of Livestock, <i>Science</i> 244: 1281-1288.
BF	Ward, K., (1991) The Application of Transgenic Techniques for the Improvement of Domestic Animal Productivity, <i>Current Opinion in Biotechnology</i> 2: 834-839.
BG	Lonnerdal, B. (1996) Recombinant Human Milk Proteins -- An Opportunity and a Challenge, <i>American Journal of Clinical Nutrition</i> 63: 622-626.
BH	Cozzi, E., et. al. (1994) Expression of Human Decay Accelerating Factor in Transgenics Pigs, <i>Transplantation Proceedings</i> . 26: 1402-1403.
BI	Etherton, T.D., et. al. (1993) Mechanism by which Somatotropin Decreases Adipose Tissue Growth, <i>American Journal of Clinical Nutrition</i> 58 (Supp.): 287S-295S.
BJ	Hurley, Carolyn K. et al., (1997) HLA Typing by Molecular Methods, <i>Manual of Clinical Laboratory Immunology</i> 140: 1098-1111.
BK	Marijt, Erik A.F., et al (1993) Multiple Minor Histocompatibility Antigen Disparities Between a Recipient and Four HLA-Identical Potential Sibling Donors for Bone Marrow Transplantation, <i>Human Immunology</i> , 37, 221-228.
TNT	Gardner, David K., et al. Culture and selection of viable blastocysts: a feasible proposition for human IVF?, <i>Human Reproduction Update</i> 1997, Vol. 3, No. 4, pp. 367-382.

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	BN	Barnes, Frank L. et al., Blastocyst development and birth after in-vitro maturation of human primary oocytes, intracytoplasmic sperm injection and assisted hatching, <i>Human Reproduction</i> , Vol. 10 no. 12, pp. 3243-3247, 1995.
	BO	Katovich, Hurley et al., Histocompatibility: Interpretation and Correlation of HLA Typing for Bone Marrow Transplantation, <a href="http://www.bminfo.org/bmt/topics/htm/dnatype.htm">http://www.bminfo.org/bmt/topics/htm/dnatype.htm</a> , 10/24/2000, pp. 1-12.
	BP	What is HLA, <a href="http://www.innogenetics.com/Website/Website.nsf/7df3b6bb9c0862e8c12567380052687f/e">http://www.innogenetics.com/Website/Website.nsf/7df3b6bb9c0862e8c12567380052687f/e</a> , 10/24/2000, pp. 1-6.
	BQ	McKenzie, John, Life-Saving Embryo? <a href="http://www.abcnews.go.com/onair/WorldNewsTonight/wnt001003_testtubebaby_feature.ht">http://www.abcnews.go.com/onair/WorldNewsTonight/wnt001003_testtubebaby_feature.ht</a> , 10/25/2000, pp. 1-2.
	BR	Human embryonic stem cell and embryonic germ cell lines. <a href="http://www.ncbi.nlm.nih.gov/entrez/query.fcgi?cmd=Retrieve&amp;db=PubMed&amp;list_uids=10.6">http://www.ncbi.nlm.nih.gov/entrez/query.fcgi?cmd=Retrieve&amp;db=PubMed&amp;list_uids=10.6</a> , 10/25/2000, p. 1.
	BS	Neural differentiation of rhesus embryonic stem cells. <a href="http://www.ncbi.nlm.nih.gov/entrez/query.fcgi?cmd=Retrieve&amp;db=PubMed&amp;list_uids=95.2">http://www.ncbi.nlm.nih.gov/entrez/query.fcgi?cmd=Retrieve&amp;db=PubMed&amp;list_uids=95.2</a> , 10/25/2000, p.1
	BT	Isolation of a primate embryonic stem cell line. <a href="http://www.ncbi.nlm.nih.gov/entrez/query.fcgi?cmd=Retrieve&amp;db=PubMed&amp;list_uids=75.4">http://www.ncbi.nlm.nih.gov/entrez/query.fcgi?cmd=Retrieve&amp;db=PubMed&amp;list_uids=75.4</a> , 10/25/2000, pp. 1-2.
	BU	Histocompatibility: Interpretation and Correlation of HLA Typing for Bone Marrow Transplantation. <a href="http://www.bminfo.org/bmt/topics/htm/type_b.htm">http://www.bminfo.org/bmt/topics/htm/type_b.htm</a> , 10/24/200, pp/1-9/
	BV	Qu, Zhuqing, et al., Development of Approaches to Improve Cell Survival in Myoblast Transfer Therapy, <i>The Journal of Cell Biology</i> , Volume 142, Number 5, Sept. 7, 1998, 1257-1267.
	BW	Yoder, Mervin C., et al., <i>In vivo</i> repopulating hematopoietic stem cells are present in the murine yolk sac at day 9.0 postcoitus, <i>Proc. Natl. Acad. Sci USA</i> , Vol. 94, pp. 6776, 6780, June 1997.
	BX	Kolosov, E., et al., Functional Characteristics of ES Cell-derived Cardiac Precursor Cells Identified by Tissue-specific Expression of the Green Fluorescent Protein, <i>The Journal of Cell Biology</i> , Volume 143, Number 7, Dec. 28, 1998, 2045-2056.
	BY	Gardner, David K., et al., Culture and transfer of human blastocysts increases implantation rates and reduces the need for multiple embryo transfers, <i>Fertility and Sterility</i> , Vol. 69, No. 1, January 1998, pp. 84-88.
	BZ	Slager, H.G., et al., Transforming Growth Factor- $\beta$ in the Early Mouse Embryo: Implications for the Regulation of Muscle Formation and Implantation, <i>Developmental Genetics</i> 14:212-224 (1993).
	CA	Bain, Gerard, et al., Embryonic Stem Cells Express Neuronal Properties <i>In Vitro</i> , <i>Developmental Biology</i> 168, 342-357 (1995).
	CB	Rohwedel, J., et al., Muscle Cell Differentiation of Embryonic Stem Cells Reflects Myogenesis in Vivo: Developmentally Regulated Expression of Myogenic Determination Genes and Functional Expression of Ionic Currents, <i>Developmental Biology</i> 164, 87-101(1994).
	CC	NT2PrecursorCells, Instruction Manual, Catalog #204101, Revision #079006, 1999.
	CD	Li, Meng, et al., Generation of purified neural precursors from embryonic stem cells by lineage selection, <i>Current Biology</i> , Vol. 8, No. 17, 1998.
	CE	Thomson, Jmaes A., et al., Embryonic Stem Cell Lines Derived from Human Blastocytes, <i>Science</i> , Vol. 282, 6 November 1998.
	CF	Reubinoff, Benjamin E., et al., Embryonic stem cell lines from human blastocysts: somatic differentiation in vitro, <i>Nature Biotechnology</i> , Vol. 18, April 2000.
	CG	Palacios, Ronald et al., <i>In vitro</i> generation of hematopoietic stem cells from an embryonic stem cell line, <i>Proc. Natl. Acad. Sci. USA</i> , Vol. 92, pp. 7530-7534, August 1995.
TNT		Xu, Ming-jiang, et al., Stimulation of Mouse and Human Primitive Hematopoiesis by Murine Embryonic Aorta-Gonad-Mesonephros-Derived Stromal Cell Lines, <i>Blood</i> , Vol. 92, No. 8 (Sept. 15, 1998), pp. 2032-2040.

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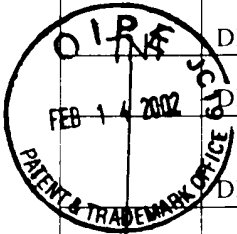
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CH	Dunnett, Stephen B., et al., Basic Transplantation Methods in Rodent Brain, <i>Neuromethods</i> , Vol. 36, pp. 133-144.
CI	Castro, Anthony J., et al., Neural Transplantation in the Developing CNS, <i>Neuromethods</i> , Vol. 36, pp. 169-194.
CJ	Barker, Roger A., et al., Preparation of Cell Suspensions for Transplantation, <i>Neuromethods</i> , Vol. 36, pp. 195-205.
CK	Nikkhah, Guido, et al., Microtransplantation of Nigral Dopamine Neurons A Step-by-Step Recipe, <i>Neuromethods</i> , Vol. 36, pp. 207-231.
CL	Huard, Johnny, et al., Gene Transfer to Muscle and Spinal Cord Using Herpes Simplex-Based Virus, <i>Stem Cell Biology and Gene Therapy</i> , 1998, pp. 179-200.
CM	Gardner, David K. et al., Culture and transfer of human blastocysts increases implantation rates and reduces the need for multiple embryo transfers, <i>Fertility and Sterility</i> , Vol. 69, No. 1, January 1998.
CN	Klug, Michael G. et al., Genetically Selected Cariomyocytes from Differentiating Embryonic Stem Cells From Stable Intracardiac Grafts, <i>J. Clin. Invest.</i> , Volume 98, Number 1, July 1996, 216-224.
CO	Van Hennik, Paula B., et al., Highly Efficient Transduction of the Green Fluorescent Protein Gene in Human Umbilical Cord Blood Stem Cells Capable of Cobblestone Formation in Long-Term Cultures and Multilineage Engraftment of Immunodeficient Mice, <i>Blood</i> , Vol. 92, December 1, 1998, pp. 4013-4022.
CP	Thomson, James A. et al., Embryonic Stem Cell Lines Derived from Human Blastocysts, <i>Science</i> , Vol. 282, 6 November 1998, pp. 1145-1147.
CQ	Weissman, Irving L. et al., Translating Stem and Progenitor Cell Biology to the Clinic: Barriers and Opportunities, <i>Science</i> , Vol. 287, 25 February 2000, pp. 1442-1446.
CR	Schuldiner, Maya et al., Effects of eight growth factors on the differentiation of cells derived from human embryonic stem cells, <i>PNAS</i> , Vol. 97, October 10, 2000, pp. 11307-11312.
CS	Wiles, Michael V. et al., Multiple hematopoietic lineages develop from embryonic stem (ES) cells in culture, <i>Development</i> , 129, 259-267 (1991).
CT	Isacson, Ole et al., Gene Therapy of Huntington's Disease, <i>Gene Therapy for Neurological Disorders and Brain Tumors</i> , pp. 427-443.
CU	Pechan, Peter A. et al., Gene Therapy for Ischemic Stroke, <i>Gene Therapy for Neurological Disorders and Brain Tumors</i> , pp. 397-408.
CV	Senut, Marie-Claude et al., Gene Transfer for Adult CNS Regeneration and Aging, <i>Gene Therapy for Neurological Disorders and Brain Tumors</i> , pp. 345-375.
CW	Bohn, Martha C. et al., Gene Therapies for Parkinson's Disease, <i>Gene Therapy for Neurological Disorders and Brain Tumors</i> , pp. 377-395.
CX	Medin, Jeffrey A. et al., <i>Gene Therapy of Enzyme and Immune Deficiencies in the Hemopoietic System</i> , pp. 386-413.
CY	Kaye, Edward M., Gene Therapy for Lysosomal Storage Diseases, <i>Gene Therapy for Neurological Disorders and Brain Tumors</i> , pp. 409-418.
CZ	Davar, Gudarz, Gene Therapy for Pain, <i>Gene Therapy for Neurological Disorders and Brain Tumors</i> , pp. 419-426.
DA	Chandran, Siddharthan et al., Neural Stem Cells for Transplantation, <i>Neuromethods</i> , Vol. 36: pp. 41-54.
DB	Wolf, Eckhard et al., Transgenic technology in farm animals – progress and perspectives, <i>The Experimental Physiology</i> (2000) pp. 615-625.
TNT DC	Squires, E.J., Status of Sperm-mediated Delivery Methods for Gene Transfer, 1999, <i>Transgenic Animals in Agriculture</i> , pp. 87-95.

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	DD	Gandolfi, F., Sperm-Mediated Transgenesis, 1999, <i>Theriogenology</i> 53: 127-137, 2000.
	DE	Chang, Il-Kuk et al., Production of Germline Chimeric Chickens by Transfer of Cultured Primordial Germ Cells, <i>Cell Biology International</i> , 1997, Vol. 21, No. 8, 495-499.
	DF	Wallen-Ohman, Marie et al., Ligation of MHC class I induces apoptosis in human pre-B cell lines, in promyelocytic cell lines and in CD40-stimulated mature B cells, <i>International Immunology</i> , Vol. 9, No. 4, pp. 599-606.
	DG	Chang et al., "Effective generation of transgenic pigs and mice by linker based sperm-mediated gene transfer," manuscript submitted to BMC Biotech on November 3, 2001.
	DH	Brackett et al., Uptake of Heterologous genome by mammalian spermatozoa and its transfer to ova through fertilization, <i>PNAS</i> (1971) 68:353-357.
	DI	Perry, AC. et al., Mammalian Transgenesis by intracytoplasmic sperm injection., "Science (1999) 284: 1180-1183.
TNT	DJ	Carballada R., Regulation of foreign DNA uptake by mouse spermatozoa, <i>Exp Cell Research</i> 2001, 262: 104-113.

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